



United States Coast Guard

MTSA FACILITY COMPLAINE GUIDE

Name of Facility/Location	Facility Type
Facility ID Number	MISLE Activity Number
Date(s) Conducted	
Facility Inspectors	
1. _____	5. _____
2. _____	6. _____
3. _____	7. _____
4. _____	8. _____

Guidance for completing the MTSA Facility Compliance Guide (checklist) –

Coast Guard facility inspectors and facility security officers (FSOs) shall complete the checklist by addressing each item contained therein. Completion of the check boxes is mandatory for all items. Each item contained in the guide (checklist) must be notated as one of the following:

Sat – Item satisfactorily meets requirements contained in the guide and referenced regulations.

N/O – Item was Not Observed during this inspection.

N/A - Item is Not Applicable to this facility or inspection.

Fail - Item was found to be unsatisfactory and therefore failed inspection.

Compliance documentation 33 CFR 105.120	SAT	N/O	N/A	FAIL
1. Approved Facility Security Plan (FSP) or				
1.1. Review the FSP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2. Review the Facility Security Assessment and CG-6025	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Letter of Authorization to Operate (LOA) or				
2.1. Review the submitted FSP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2. Review the submitted Facility Security Assessment and CG-6025	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Alternative Security Program , with letter signed by facility owner/operator				
3.1. Review ASP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2. Review the Facility Security Assessment and CG-6025	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Non-Compliance 33 CFR 105.125	SAT	N/O	N/A	FAIL
4. Conditions existing (if any):				
4.1. 1) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2. 2) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Conditions met.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. COTP notified of non-compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Waivers & Equivalents 33 CFR 105.130 & 105.135	SAT	N/O	N/A	FAIL
7. Approval letter for waiver from Commandant G-MP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Approval letter for equivalent from Commandant G-MP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Maritime Security (MARSEC) Directives 33 CFR 105.145	SAT	N/O	N/A	FAIL
9. Incorporated in to security plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Facility Security Officer Knowledge & Training 33 CFR 105.205	SAT	N/O	N/A	FAIL
10. Name of FSO: _____				
11. FSO Contact Information:				
11.1. Primary phone number () _____ - _____				
11.2. Secondary number () _____ - _____				
12. Is FSO familiar with FSP and relevant portions of the regulations? FSO must have <u>general</u> knowledge through <u>training</u> or <u>equivalent job experience</u> in the following:				
12.1. Facility security organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.2. Vessel and facility security measures to be implemented at the different MARSEC Levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.3. Familiarity with security equipment and systems, and their operational limitations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.4. Familiarity with methods of conducting audits, inspections, control, and monitoring techniques	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FSO <u>must have knowledge and receive training</u> in the following, as appropriate:				
12.5. Risk assessment methodology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.6. Methods of facility security surveys and inspections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.7. Instruction techniques for security training and education, including security measures and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.8. Handling (as well as access to and distribution of) sensitive security information and security related communications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.9. Current security threats and patterns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.10. Recognizing and detecting dangerous substances and devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.11. Recognizing characteristics and behavioral patterns of persons who are likely to threaten security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.12. Techniques used to circumvent security measures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.13. Conducting physical searches and non-intrusive inspections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.14. Conducting security drills and exercises, including exercises with vessels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.15. Assessing security drills and exercises	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Facility Personnel With Security Duties 33 CFR 105.210		SAT	N/O	N/A	FAIL
13.	Verify that personnel with security duties are familiar with FSP and relevant portions of the regulations? These personnel must have general knowledge through <u>training</u> or <u>equivalent job experience</u> in the following:				
13.1.	Current security threats and patterns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.2.	Testing, calibration, operation, and maintenance of security equipment and systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.3.	Security related communications (including the handling of SSI)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.4.	Methods of physical screening of persons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.5.	Knowledge of emergency procedures and contingency plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.6.	Techniques used to circumvent security systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.7.	Recognition of characteristics and behavioral patterns of persons who are likely to threaten security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.8.	Recognition and detection of dangerous substances and devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.9.	Inspection, control, and monitoring techniques.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.10.	The meaning and the consequential requirements of the different MARSEC levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Facility Personnel Without Security Duties 33 CFR 105.210 & 105.215		SAT	N/O	N/A	FAIL
14.	Verify that all <u>other personnel</u> are familiar with FSP and relevant portions of the regulations. These personnel must have general knowledge through <u>training</u> or <u>equivalent job experience</u> in the following:				
14.1.	Relevant provisions of the FSP & meaning of different MARSEC levels.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.2.	Recognition & detection of dangerous substances and devices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.3.	Recognition of characteristics and behavioral patterns of persons who are likely to threaten security.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.4.	Techniques used to circumvent security measures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Sensitive Security Information (SSI) when filled out

Drill & Exercise Requirements 33 CFR 105.220	SAT	N/O	N/A	FAIL
15. Review Drill Log to ensure drills are conducted at least every 3 months. 15.1. Date/Type of Last Drill: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Review Exercise Log to ensure exercises are conducted each calendar year, no more than 18 months between exercises. 16.1 Date/Type of Last Exercise: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Facility record keeping requirements 33 CFR 105.225	SAT	N/O	N/A	FAIL
17. Review records to ensure all of the following are recorded -				
17.1. Breaches of security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.2. Changes in Maritime Security (MARSEC) Levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.3. Maintenance, calibration, and testing of security equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.4. Security threats	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.5. Training records for facility personnel with security duties ONLY . (<i>Those personnel covered under 33 CFR 105.210</i>)				
17.5.1 Date of each training session	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.5.2. Duration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.5.3. Description of training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.5.4. List of attendees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.6. Verify that all records are maintained for at least (2) years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.7. Verify that the FSP/ASP undergoes an annual audit.				
17.7.1. Check the document(s) signed by FSO certifying the annual audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.7.2. Verify that past audit findings are addressed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Verify the FSP is being protected from unauthorized disclosure in accordance with SSI procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Sensitive Security Information (SSI) when filled out

MARSEC Level Coordination & Implementation 33 CFR 105.230	SAT	N/O	N/A	FAIL
19. Ensure facility is operating at proper MARSEC level in effect for the Port.				
19.1. Review procedures outlined in FSP for current MARSEC level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Review the procedures for changes in MARSEC levels.				
20.1. MARSEC Level I to 2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20.2. MARSEC Level 2 to 3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. 12 Hour implementation timeframe & reporting to COTP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communications 33 CFR 105.235	SAT	N/O	N/A	FAIL
22. Verify that primary and backup communications systems and procedures allow effective and continuous communications between the facility security personnel, vessels interfacing w/facility, the COTP and authorities w/security responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Verify that each active facility access point provides a means of contacting police, security control, or an emergency operations center.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Declaration of Security 33 CFR 105.225 & 105.245	SAT	N/O	N/A	FAIL
24. Verify that DoS's are maintained for 90 days.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. When a continuing DoS is used, the FSP/ASP must ensure that:				
25.1. The DoS is valid for a specific MARSEC Level.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.2. The effective period at MARSEC Level 1 does not exceed 90 days.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.3. The effective period at MARSEC Level 2 does not exceed 30 days.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security systems and equipment maintenance 33 CFR 105.250	SAT	N/O	N/A	FAIL
26. Verify security systems and equipment are in good working order and inspected, tested, calibrated, and maintained according to Manufacturers' recommendations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Verify procedures for identifying and responding to security and equipment failures or malfunctions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Sensitive Security Information (SSI) when filled out

Security measures for access control 33 CFR 105.255		SAT	N/O	N/A	FAIL
28.	VERIFY procedures at MARSEC Level 1 to ensure that security measures relating to access control are implemented AS OUTLINED IN THE FSP , these <u>procedures</u> include those that:				
28.1.	Screen persons, baggage, personal effects, and vehicles, for dangerous substances and devices at the rate specified in the approved FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.2.	Conspicuously post signs that describe security measures currently in effect and clearly state the entering the facility is deemed valid consent to screening or inspection, and that failure to consent or submit to screening or inspection will result in denial or revocation of authorization to enter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.3.	Check the identification of any person seeking to enter the facility, including vessel passengers and crew, facility employees, vendors, visitors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.4.	Identify access points that must be secured or attended to deter unauthorized access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.5.	Screen by hand or device, such as x-ray, all unaccompanied baggage prior to loading onto a vessel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.6.	Secure unaccompanied baggage after screening in a designated restricted area and maintain security control during transfers between facility and vessel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.	REVIEW procedures for MARSEC Level 2 to ensure that security measures relating to access control can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30.	REVEIW procedures for MARSEC Level 3 to ensure that security measures relating to access control can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Security measures for restricted areas 33 CFR 105.260		SAT	N/O	N/A	FAIL
31.	VERIFY procedures to ensure that security measures relating to restricted area access control are implemented AS OUTLINED IN THE FSP . These <u>procedures</u> include those that:				
31.1.	Identify which facility members are authorized access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.2.	Identify when other personnel are authorized access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.3.	Define the extent of any restricted area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.4.	Define the times when access restrictions apply.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Section continued on next page -					

Security measures for restricted areas 33 CFR 105.260	SAT	N/O	N/A	FAIL
31.5. Clearly mark all restricted areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.6. Control entry, parking, loading and unloading of vehicles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.7. Control the movement and storage of cargo and vessel stores.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.8. Control unaccompanied baggage or personnel effects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32. VERIFY procedures at MARSEC Level 1 to ensure that security measures relating to restricted areas are implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. REVIEW procedures for MARSEC Level 2 to ensure that security measures relating to restricted areas can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. REVIEW procedures for MARSEC Level 3 to ensure that security measures relating to restricted areas can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Security measures for handling cargo 33 CFR 105.265	SAT	N/O	N/A	FAIL
35. VERIFY procedures at MARSEC Level 1 to ensure that security measures relating to handling cargo are implemented AS OUTLINED IN THE FSP . These <u>procedures</u> include those that:				
35.1. Routinely check cargo, cargo transport units, and cargo storage areas within the facility prior to, and during, cargo handling ops to deter tampering.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35.2. Check that cargo, containers, or other cargo transport units entering the facility match the delivery note or equivalent cargo documentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35.3. Screen vehicles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35.4. Check seals and other methods used to prevent tampering upon entering the facility and upon storage within the facility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. REVIEW procedures for MARSEC Level 2 to ensure that security measures relating to handling of cargo can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. REVIEW procedures for MARSEC Level 3 to ensure that security measures relating to handling of cargo can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Security measures for delivery of vessel stores and bunkers 33 CFR 105.270	SAT	N/O	N/A	FAIL
38. VERIFY procedures at MARSEC Level 1 to ensure that security measures relating to delivery of vessel stores and bunkers are implemented AS OUTLINED IN THE FSP , these procedures must include those that:				
38.1. Screen stores at rate specified in FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38.2. Require advance notice of deliveries.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38.3. Screening delivery vehicles at rate specified in FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. REVIEW procedures for MARSEC Level 2 to ensure that security measures relating to delivery of vessel stores and bunkers can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40. REVIEW procedures for MARSEC Level 3 to ensure that security measures relating to delivery of vessel stores and bunkers can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Security measures for monitoring 33 CFR 105.275	SAT	N/O	N/A	FAIL
41. VERIFY procedures at MARSEC Level 1 to ensure that security measures relating to monitoring are implemented AS OUTLINED IN THE FSP . These <u>procedures</u> include those that:				
41.1. Monitor the facility area, including shore and waterside access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41.2. Are capable to monitoring access points, barriers and restricted areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41.3. Are capable of monitoring access and movement adjacent to vessels using the facility, including augmentation of lighting utilized by vessels.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42. REVIEW procedures for MARSEC Level 2 to ensure that security measures relating to monitoring can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43. REVIEW procedures for MARSEC Level 3 to ensure that security measures relating to monitoring can be implemented AS OUTLINED IN THE FSP .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Security incident procedures 33 CFR 105.280	SAT	N/O	N/A	FAIL
44. Verify procedures for responding to security threats or breaches of security and maintaining critical facility and vessel-to-facility interface.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45. Review procedures for reporting security incidents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Sensitive Security Information (SSI) when filled out

Passenger and Ferry Facilities Only 33 CFR 105.285	SAT	N/O	N/A	FAIL
46. Verify areas are established to segregate unchecked persons and effects from checked persons and effects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47. Verify vehicles are being screened IAW the FSP/ASP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48. Verify security personnel control access to restricted areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Verify sufficient security personnel to monitor all persons within the area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Cruise Ship Terminals Only 33 CFR 105.290	SAT	N/O	N/A	FAIL
50. Verify procedures to screen all persons, baggage, and all personal effects for dangerous substances and devices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. Verify procedures for checking personnel identification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52. Inspect designated holding, waiting, or embarkation areas to segregate screened persons and their effects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
53. Verify procedures to provide additional security personnel to designated holding areas and deny passengers access to the restricted areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Certain Dangerous Cargo (CDC) Facilities Only 33 CFR 105.295	SAT	N/O	N/A	FAIL
54. Verify procedures to escort all visitors, contractors, vendors, and other non-facility employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55. Verify procedures for controlling parking, loading and unloading of vehicles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56. Verify procedures for security personnel to record or report their presence at key points during security patrols.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57. Verify procedures to search key areas prior to vessel arrivals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
58. Inspect alternate or independent power source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Barge Fleeting Facilities Only 33 CFR 105.296	SAT	N/O	N/A	FAIL
59. Verify designated restricted areas within the barge fleeting facility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60. Inspect current list of vessels and cargoes in the designated restricted area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
61. Verify that there is at least one tug available to service the facility for every 100 barges.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>*Barge Fleeting Facilities are exempt from Security Measures for Handling Cargo and Security measures for delivery of vessel stores and bunkers.</i>				

--- Notes on deficiencies ---

Two distinct types of deficiencies may be identified utilizing this compliance checklist -

Facility is not operating in accordance with their approved/submitted FSP or ASP – This type of deficiency is addressed utilizing a range of enforcement and compliance measures, from Lesser Administrative actions (worklists, etc.), up to and including more significant measures such as Notice of Violations, Civil Penalties, and Operational Controls which may restrict facility operations.

Facility is operating in accordance with their approved/submitted FSP or ASP, but plan does not meet the specific performance criteria outlined in the regulations – These types of deficiencies must be addressed through the plan amendment guidance as set forth in 33 CFR 105.415 (*excerpt provided below*).

“(a) Amendments to a Facility Security Plan (FSP) that is approved by the cognizant COTP may be initiated by” “(ii) the cognizant COTP upon a determination that an amendment is needed to maintain the facility’s security. The cognizant COTP will give the facility owner or operator written notice and request that the facility owner or operator propose amendments addressing any matters specified in the notice. The facility owner or operator will have at least 60 days to submit its proposed amendments. Until amendments are approved, the facility owner or operator shall ensure temporary security measures are implemented to the satisfaction of the COTP”.

Generally, items in the checklist beginning with “*Verify procedures*” indicate issues requiring plan amendments. These sections include, but are not limited to:

Communications, 22 – 23
 Security measures for access control, 28
 Security measures for restricted areas, 31
 Security measures for handling cargo, 35
 Security measures for delivery of vessel stores and bunkers, 38
 Security measures for monitoring, 41
 Security incident procedures, 44 – 45
 Passenger and Ferry facilities only, 46
 Cruise Ship Terminals only, 50 – 51, 53
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 Barge fleeting facilities only, 59

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Sensitive Security Information (SSI) when filled out

Inspection Summary

Comments:

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.